# Securities Report Forms and Instructions

These forms are intended for reporting any type of securities and security related cash.

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(Rev. 07/2005)

### INSTRUCTIONS FOR FORM UP-1S SECURITIES AND SECURITIES RELATED CASH

- The form UP-1S must accompany all holder reports
- Transfer all securities to Merrill Lynch (see instructions for UP-3S)

### HOLDER INFORMATION:

This form is to report SECURITIES AND SECURITIES RELATED CASH only. Please type or print your report!

- **ITEM 1-** Enter your federal employer identification number.
- **ITEM 2-** Enter your business name and mailing address.
- **ITEM 3-** If this report is being prepared by an agent on behalf of the business, enter the agent's name and address.
- **ITEM 4-** Enter the name of the person completing the form.
- <u>ITEM 5-</u> Enter the telephone number for the person completing the form.
- **ITEM 6-** Enter the electronic mail address for the person completing the form.
- **ITEM 7-** Enter the date your business was incorporated or registered.
- **ITEM 8-** Enter the state where your business is registered or incorporated.

### REPORT INFORMATION:

- **IITEM 9A-** Enter the total of properties listed on report (each line equals one property).
- **ITEM 9B-** Enter total number of physical securities remitted with this report.
- **ITEM 9C-** Enter total number of DTC shares included with this report.
- **ITEM 9D-** Enter total of securities related cash remitted.
- ITEM 9E- Enter total number of shares remitted 9B + 9C.
- ITEM 10A- Enter total of properties listed on this report (each line equals one property).
- ITEM 10B- Enter total number of DTC shares included with this report.
- **ITEM 10C-** Enter total number of book shares/DRP shares listed on this report.
- ITEM 10D- Enter total securities related cash remitted.
- **ITEM 10E-** Enter total number of mutual funds remitted 10B + 10C.

### VERIFICATION:

The report must be certified by a CFO, partner or company officer.

IF LESS THAN 25 PROPERTIES, GO TO OWNER REPORT FORM (UP-2S) TO PROVIDE A DETAILED LISTING OF THE UNCLAIMED ACCOUNTS. IF REPORTING 25 PROPERTIES OR MORE, USE NAUPA FORMATTED CD.



### 2005 HOLDER REPORT SUMMARY FORM UP-1S SECURITIES AND SECURITIES RELATED CASH

This form must accompany all holder reports

DID YOU ATTACH A CD? Y[] N[] ELECTRONIC FILERS: Submit a UP-1S for each business included on the CD.

Transfer all securities to Merrill Lynch (see instructions for UP-3S)

	mansier all se	curities to Merrin L	ynch (s	ee manuchons	101 01 -30)	
HOLDER INFORMA	TION					
1. FEDERAL EMPLOYER	R ID#	2. HOLDER (Business I	Name)			
ADDRESS						
CITY, STATE, ZIP COD	DE					
3. IS THIS REPORT BEIL AND ADDRESS:	NG PREPARED BY AN AGEN	T ON BEHALF OF THE F	IOLDER?	Y[]N[]	IF YES, FU	RNISH AGENT NAME
4. NAME OF CONTACT F	PERSON	5. TELEPHONE		6. E-MA	IL ADDRESS	
7. DATE OF INCORPOR.	ATION	3	3. STATE (	OF INCORPORATIO	N	
REPORTINFORMA	TION					
Delivery and regi	stration of shares remi	tted (see instructio	ns)			
STOCK 9A. Total - properties reporte	ed			MUTUAL FUNDS otal - properties reported		
9B. Total - physical shares			10B. T	Total - DTC shares		
9C. Total - DTC shares			10C. T	Total - book shares/DRP		<del></del> -
9D. Total - securities related -	- cash remitted		10D. T	otal - securities related - o	ash remitted	
9E. Total - stock remitted B-	+C		10E.	Total - stock remitted B+0	·	
	ENCLOSE (	CONFIRMATION OF DELIVERY O	F SHARES A	ND MUTUAL FUND STATE	MENTS	
VERIFICATION STA	ATEMENT					
			L			
						ave examined this report under the "Disposition of
						fication by the holder and
	report to be true, correct					
	,	·			,	J
Signature of Responsible Officer Printed or Typed Name of Responsible Officer						
Title of Responsible Officer Date						
		FOR OFFIC	EUSEON	ILY		
CD?	CHECK NUMBER		CHECK I	DATE		CHECK AMOUNT
DATE DEPOSITED	BATCH NO.	RECEIPT NO	T NO. REF		T ID	HOLDER NO.
		1,252			·=	
	STOCK BATCH ID				STOCK RECEI	PT ID

### INSTRUCTIONS FOR FORM UP-2S SECURITIES

### The form UP-2S must accompany all holder reports.

Form UP-2S is used to report all securities-related unclaimed property, as well as to report proceeds derived from the liquidation of such assets. The Unclaimed Property Section uses this information to verify rightful ownership of persons attempting to claim these accounts.

Specific security delivery instructions for transferring and liquidating securities are found on page 31. Should you have any questions, you may contact us at phone (404) 968-0490 or email ucpmail@dor.ga.gov.

- > Type or print the report.
- Enter your business name and federal employer identification number (FEIN) on each page of your report.
- List owners alphabetically by name.
- <u>Item 1</u> Refer to the Property Codes list on page 4 and enter the code which best identifies the security reported.
- <u>Item 2</u> Enter the identifying account number assigned to the account by your business if applicable.
- <u>Item 3</u> Enter the owner's name and compete address as listed on your business records. If the account has more than one owner, indicate the relationship using the appropriate relationship code from the list on page 4.
- <u>Item 4</u> Enter the owner's social security number (SSN) or tax identification number as shown on your business records.
- Item 5 Enter owner date of birth.
- <u>Item 6</u> Enter the date of last transaction or date of last contact with the owner.
- Item 7 Enter the complete name of the stock or fund as shown by the issuing authority.
- Item 8 Enter the stock CUSIP or mutual fund identification number.
- <u>Item 9</u> Enter the total number of whole shares remitted to include DRP shares. Liquidate out all fractional shares and report in column 9.
- <u>Item 10</u> Enter cumulative proceeds derived from the liquidation of any fractional or worthless shares.
- Item 11 Enter total \$ amount of dividends.
- Item 12 Enter total \$ amount of columns 10 and 11.
- <u>Item 13</u> Enter total number of shares per page.
- **Item 14** Enter the total amount for the page.
- <u>Item 15</u> If last page, enter the grand total of shares for all pages.
- <u>Item 16</u> If last page, enter the grand total for all pages. Make check payable to: Georgia Department Revenue, Unclaimed Property Program.
- <u>Item 17</u> Enter total number of properties being reported.
- <u>Item 18</u> If last page, enter grand total of properties being reported.

### Complete a Securities Transfer Memo (UP-3S) for each report submitted.

FORM UP-2S (REV 07/05) GEORGIA DEPARTMENT OF REVENUE UNCLAIMED PROPERTY PROGRAM

# **SECURITIES AND SECURITIES RELATED CASH DETAIL REPORTING FORM UP-2S**

# 200

FEDERAL EMPLOYER ID#

BUSINESS NAME

When reporting 25 or more properties, a NAUPA formatted CD is required.

CASH AMOUNT REMITTEDAS DUE OWNER (12)				
CASH FROM DIVIDENDS (11)				
CASH-IN-LIEU FRACTIONAL SHARES (10)				
TOTAL SHARES REMITTED (9)				
CUSIP/ FUND NO. (8)				R OF SHARES ED FOR PAGE OR ALL PAGES F ALL PAGES OF REVENUE TY PROGRAM
NAME OF STOCK ISSUE (7)				(13) TOTAL NUMBER OF SHARES (14) ENTER TOTAL AMOUNT REMITTED FOR PAGE (15) IF LAST PAGE, ENTER GRAND TOTAL OF SHARES FOR ALL PAGES (16) IF LAST PAGE, ENTER GRAND TOTAL AMOUNT OF ALL PAGES. MAKE CHECK PAYABLE TO GEORGIA DEPARTMENT OF REVENUE UNCLAIMED PROPERTY PROGRAM
DATE OF LAST TRANS- ACTION (6)				(14) ENTER TC ENTER GRAND GE, ENTER GRA
DATE OF BIRTH (5)				- LAST PAGE, I 16) IF LAST PA
OWNER TAX ID NUMBER (4)				H (15)
OWNER'S NAME AND ADDRESS				TIES FOR PAGE , ENTER GRAND DFPROPERTIES
OWNER IDENTIFYING NUMBER (2)				(17) TOTAL PROPERTIES FOR PAGE (18) IF LAST PAGE, ENTER GRAND TOTAL OF PROPERTIES
STOCK PRO- PERTY CODE (1)				[]

## INSTRUCTIONS FOR SECURITIES DTC TRANSFER CONFIRMATION FORM UP-3S

Please type or print your report!

This report <u>must</u> accompany your "UP-1S - Holder Report Summary Form" and holder report.

- <u>ITEM 1 -</u> Enter your HOLDER-ID number as supplied by Georgia Unclaimed Property if known.
- **ITEM 2 -** Enter the date that the report was prepared.
- **ITEM 3 -** Enter the full stock issue name as shown by issuing authority.
- ITEM 4 Enter stock symbol.
- ITEM 5 Enter the CUSIP number for each issue.
- <u>ITEM 6 -</u> Enter the total number of shares transferred to Georgia Unclaimed Property Custodian Merrill Lynch.
- **ITEM 7 -** Enter date that the DTC transfer occurred.
- **ITEM 8 -** Enter grand total of Item 6.

The report must be certified as accurate, as indicated by the signature of an officer of the institution.

#### Forward to:

Georgia Department of Revenue Unclaimed Property Program 4245 International Parkway, Suite A Hapeville, GA 30354-3904

#### REMITTING ABANDONED SECURITIES

1. Securities must be electronically transferred to Georgia's custodial account. Use the following information when making this transfer:

CUSTODIAN - Merrill Lynch, Fenner, Pierce & Smith DTC NUMBER - 5198 GEORGIA'S ACCOUNT NUMBER - 701-07F28

2. Use Form UP-3S to record confirmation of securities transfer.

UP-3S(Rev. 07/05) GEORGIA DEPARTMENT OF REVENUE UNCLAIMED PROPERTY PROGRAM



### SECURITIES DTC TRANSFER CONFIRMATION FORM UP-3S

This form must accompany all holder reports.

			Page	of
HOLDER NAME	ADDRESS			
		FEIN		
GA HOLDER ID # (1)	HOLDER REPO	PRT DATE (2)		
This form is used to notify the Georgia Unclaimed Property transferred to the state's custodian, Merrill Lynch. New st using DTC. Specific instructions for completing this form a "Instructions for Completion of Form UP-3S."	ate reporting require	rements mandate th	ne transfer of all	l eligible shares
STOCK ISSUE NAME (3)	STOCK SYMBOL (4)	CUSIP #	TOTAL SHARES TRANSFERRED (6)	DTC TRANSFER DATE (7)
GRAND	TOTAL OF SHARES TR	ANSFERRED (8)		
I, the undersigned, certify that the securities listed above h for The State of Georgia on the date(s) indicated.	ave been successi	ully transferred via	DTC to Merrill L	ynch, custodian
Signed	Title			
Date				

### **Checklist for Unclaimed Securities** and Securities Related Cash

Y	our	report	shou	ld c	consi	st o	f:

Holder Report Summary Form (UP-1S).
Detail Reporting Form (UP-2S) – if reporting 25 or fewer properties
Read-only CD/NAUPA format if reporting 25 or more properties.
Securities DTC Transfer Confirmation (UP-3S).
Check for the total of all proceeds made payable to the Georgia Department of Revenue.
All mutual funds, DRP, book entry, etc., statements. If no statement is included, report wil
he considered incomplete and will not be processed

Forward your report package to:

Georgia Department of Revenue Unclaimed Property Program 4245 International Pkwy, Ste A Hapeville, GA 30354-3918

### **ADDITIONAL INSTRUCTIONS AND INFORMATION**

### **REPORT CHECKLIST** - Before filing your report, have you?

- Sent owner notification letters to all owners with accounts \$ 50.00 or more?
- Signed Form UP-1S statement verification?
- Enclosed a check for the total amount due payable to GEORGIA DEPARTMENT OF REVENUE UNCLAIMED PROPERTY PROGRAM?
- Posted federal tax identification number on all pages of the report?
- Electronic filers: Clearly labeled CD and have a hard copy of Form UP-1S to send?
- Securities: Completed DTC Transfer Form UP-3S?

### TO FILE AN EXTENSION

- Reports are due by November 1, 2005. Extensions may be granted up to 90 days.
- Mail or fax a written request to the Unclaimed Property Program at least 30 days prior to the report due date.
- Provide an estimated filing date and the reason for the extension.

### REMITTING ABANDONED SECURITIES

 Securities must be electronically transferred to Georgia's custodial account. Use the following information when making this transfer:

> CUSTODIAN - Merrill Lynch, Fenner, Pierce & Smith DTC NUMBER - 5198 GEORGIA'S ACCOUNT NUMBER - 701-07F28

All physical certificates must be submitted with the unclaimed property report by November 1. The certificates must be registered to the GEORGIA REVENUE COMMISSIONER.

### **NEED MORE HELP?**

Georgia's Unclaimed Property staff will be glad to answer any questions regarding unclaimed property. Please contact us at:

Georgia Department of Revenue Unclaimed Property Program 4245 International Parkway, Suite A Hapeville, GA 30354-3918 Telephone: (404) 968-0490 Fax Line: (404) 968-0772

Email: ucpmail@dor.ga.gov